



PAT-008A

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:  
Mark Pettay

Group Art Unit: 2655

Examiner: Not Known

Serial No.: 10/673,679

Filed: September 29, 2003

For: SCRIPT COMPLIANCE AND  
QUALITY ASSURANCE USING SPEECH  
RECOGNITION

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**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with 37 CFR §§ 1.97 and 1.98, the items identified in this Information Disclosure Statement ("IDS") are brought to the attention of the Office. The items are listed on the attached form PTO-1449 and copies are enclosed for the convenience of the Examiner.

The items identified in this IDS may or may not be "material" pursuant to 37 CFR § 1.56. The submission thereof by Applicant is not to be construed as an admission that any such patent, publication or other information referred to therein is material or considered to be material (37 CFR § 1.97(h)), or even qualifies as "prior art" under 35 USC § 102 with respect to this invention unless specifically designated by Applicant as such.

**INFORMATION DISCLOSURE STATEMENT FILING PROVISION:**

☒ This IDS is believed to be timely in that it is being submitted under 37 CFR § 1.97(b), that is (1) within three months of the filing date of the application, which is not a continued prosecution application filed under § 1.53(d); or (2) within three months of entry of the national stage as set forth

**CERTIFICATE OF MAILING**  
(37 C.F.R. § 1.8a)

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as First Class Mail in an envelope addressed to the Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450.

Date of Deposit

1-22-2004

Michele A. Zarinelli

mailing of a first Office action after filing a request for continued examination under § 1.114. Thus, no fee is required.

- ☒ However, if the undersigned is in error in this regard, Applicant respectfully requests that the Office consider this IDS as filed under 37 CFR § 1.97(c), if applicable, and charge the fee due under 37 CFR § 1.17(p) to the deposit account referenced below.
- ☐ However, if the undersigned is in error in this regard, Applicant respectfully requests that the Office consider this IDS as filed under 37 CFR § 1.97(c), if applicable, and a statement under 37 CFR § 1.97(e) is included below, thus no fee is required.
- ☐ This IDS is being submitted under 37 CFR § 1.97(c), that is after mailing of a first Office action on the merits, but before a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311.
  - ☐ The fee due under 37 CFR § 1.17(p) is submitted herewith.
  - ☐ A statement under 37 CFR § 1.97(e) is included below, thus no fee is required. In the event that this IDS is not received before a Final Action or a Notice of Allowance, then Applicant respectfully requests that the Office consider the filing of these papers to be submitted under 37 CFR § 1.97(d) and charge the fee due under 37 CFR § 1.17(p) to the deposit account below.
- ☐ This IDS is being submitted under 37 CFR § 1.97(d), that is after a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311, but before payment of the issue fee. A statement under 37 CFR § 1.97(e) is included below. The fee due under 37 CFR § 1.17(p) is submitted herewith.

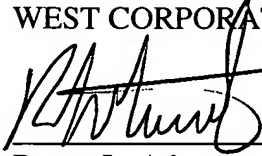
**STATEMENT UNDER 37 CFR § 1.97(e):**

- ☐ Each item contained in this IDS was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS.
- ☐ No item contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this statement after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of this IDS.

**PAYMENT AND/OR AUTHORIZATION TO CHARGE FEES:**

- ☐ A check in the amount of \_\_\_\_\_ is enclosed for the above fee(s).
- ☐ Please charge \_\_\_\_\_ to Deposit Account No. 501880 for the above fee(s).

Dated: 22 JAN 04

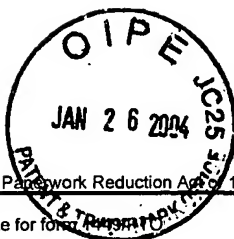
Respectfully submitted,  
WEST CORPORATION  
  
By: \_\_\_\_\_  
Rocco L. Adornato  
Reg. No. 40,480



**29129**

PATENT & TRADEMARK OFFICE

WEST CORPORATION  
11808 Miracle Hills Drive  
Omaha, NE 68154



PTO/SB/08A (08-03)

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Substitute for form PTO/SB/08A

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 4**Complete if Known**

Application Number	10/673,679
Filing Date	September 29, 2003
First Named Inventor	Mark Pettay
Art Unit	2655
Examiner Name	Not Known
Attorney Docket Number	PAT-008A

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**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	B	US- 6094476	07-25-2000	Peter Hunt	cited in parent
	C	US- 6049602	04-11-2000	Mark Jeffrey Foladare	cited in parent
	D	US- 6119084	09-12-2000	Tracy Roberts	cited in parent
	E	US- 6266640	07-24-2001	Laurence J. Fromm	cited in parent
	F	US- 3752904	08-14-1973	Nelson J. Waterbury	cited in parent
	G	US- 4752676	06-21-1998	Eugene Leonard	cited in parent
	H	US- 4993068	01-12-1991	Gerald V. Piosenka	cited in parent
	I	US- 5153918	10-06-1992	Gregory Tuai	cited in parent
	J	US- 5412727	05-02-1995	Jerome Drexler	cited in parent
	K	US- 5513250	04-30-1996	Alex McAllister	cited in parent
	L	US- 5581630	12-03-1996	Walter C. Bonneau	cited in parent
	M	US- 5638430	01-10-1997	Steven J. Hogan	cited in parent
	N	US- 5862325	01-19-1999	Drummond Shattuck Reed	cited in parent
	O	US- 5884262	03-16-1999	Laird H. Wise	cited in parent
	P	US- 5903225	05-11-1999	John C. Schmitt	cited in parent
	Q	US- 5915001	06-22-1999	Premkumar V. Uppaluru	cited in parent
	R	US- 5987155	11-16-1999	Christopher S. Dunn	cited in parent
	S	US- 6011858	01-04-2000	Michael J. Stock	cited in parent
	T	US- RE36,580	01-22-2000	Charles A. Bogosian	cited in parent

**FOREIGN PATENT DOCUMENTS**

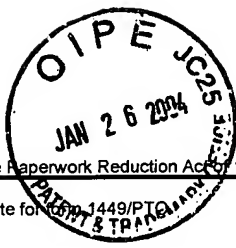
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				

Examiner  
SignatureDate  
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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STATEMENT BY APPLICANT**

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Sheet 2 of 4**Complete if Known**

Application Number	10/673,679
Filing Date	September 29, 2003
First Named Inventor	Mark Pettay
Art Unit	2655
Examiner Name	Not Known
Attorney Docket Number	PAT-008A

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		Number-Kind Code <sup>2</sup> (if known)			
	U	US- 6038334	03-14-2000	Laurence Hamid	cited in parent
	V	US- 6084967	07-04-2000	Paul Roy Kennedy	cited in parent
	W	US- 6091835	07-18-2000	Christopher P.K. Smithies	cited in parent
	X	US- 6092192	07-18-2000	Dimitri Kanevsky	cited in parent
	Y	US- 6149056	11-21-2000	Michael C. Stinson	cited in parent
	Z	US- 6167517	12-26-2000	Gary Gilchrist	cited in parent
	AA	US- 5940476	08-17-1999	Sanford J. Morganstein	
	AB	US- 5414755	05-09-1995	Lawrence G. Bahler	
	AC	US- 5623539	04-22-1997	Charles S. Bassenyemukasa	
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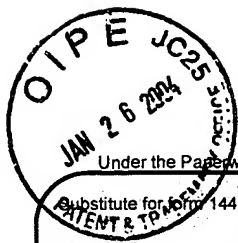
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Sheet	3	of	4

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NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	AD	VoicePrint Security for Credit Cards, IBM Technical Disclosure Bulletin, 01-1994, pgs. 189-190, vol. 37, publication number 2B. (cited in parent)	
	AE	PriceInteractive Launches Most Reliable Anti-Slamming Service New Enhanced Third Party Verification (TM) Solutions Cut Carrier Costs By More Than Half, PR Newsire via NewsEdge Corporation, 07-01-1999. (cited in parent)	
	AF	Fast Talk Communications, Fast-Talk and VorTecs Join Forces to Unveil New Quality Management Solution, Press Release, www.fast-talk.com, 10-24-2001.	
	AG	CMP MEDIA, SER Acquires VorTecs, Move Adds CTI and Speech Rec to SER's Outbound Capabilities, www.cconvergence.com, 03-27-2003.	
	AH	CMP MEDIA, Enhanced Quality Monitoring Tools, VorTecs Has Integrated Fast-Talk's Phonetic Search Engine Into its Spot It! and Mine It! Software Applications, www.cconvergence.com, 11-12-2002.	
	AI	ROY TWERSKY, How Speech Analytics Solutions Help Telemarketers and Contact Centers, www.utopy.com, 08-11-2003.	
	AJ	HILL, KIMBERLY, Autonomy Digs Into Contact-Center Market, www.crmdaily.com, 05-20-2003.	
	AK	VOICELOG, VoiceLog Announces Web Interface for Verification Retrievals and Audio Playback, Press Release, www.voicelog.com.	
	AL	VOICELOG, VoiceLog Announces Dual Channel Recording New System Enhances Fraud Protection for Third Party Verification, Press Release, www.voicelog.com, 01-04-2000.	
	AM	VOICELOG, VoiceLog Goes To the End of the Earth to Review Third Party Verification, Press Release, www.voicelog.com, 02-29-2000.	

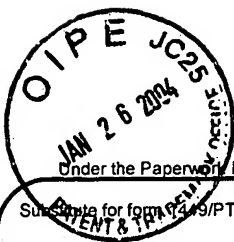
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Sheet 4 of 4	Attorney Docket Number	PAT-008A	Technology Center 260

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NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	AN	VOICELOG, VoiceLog Announces Inbound That Delivers, Press Release, www.voicelog.com, 10-02-2000	
	AO	VOICELOG, VoiceLog Announces "Pay As You Go" Call Logging, Press Release, www.voicelog.com, 06-26-2003.	

Examiner Signature		Date Considered	
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